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MAY 25 2006

# Workman Nydegger

1000 Eagle Gate Tower  
60 East South Temple  
Salt Lake City, Utah 84111  
Phone: (801) 533-9800  
Fax: (801) 328-1707

## FAX TRANSMISSION COVER SHEET

Date: May \_\_, 2006  
To: United States Patent and Trademark Office  
Fax: 571-273-8300  
Phone: 571-272-1000  
Re: U.S. Patent Application Serial No: 10/691,376  
Our Docket No.: 15436.247.51.1  
Sender: Tobi A. Terry, Paralegal to Kevin W. Stinger

YOU SHOULD RECEIVE 26 PAGE(S), INCLUDING THIS COVER SHEET. IF YOU DO NOT RECEIVE ALL THE PAGES, PLEASE CALL 801-533-9800

*Please see attached documents*

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MAY 25 2006

## WORKMAN | NYDEGGER

INTELLECTUAL PROPERTY ATTORNEYS

1000 EAGLE GATE TOWER  
60 EAST SOUTH TEMPLE  
SALT LAKE CITY, UTAH 84111  
TELEPHONE: (801) 533-9800  
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WEBSITE: HTTP://WWW.WNLAW.COM

FILED VIA FACSIMILE

PATENT APPLICATION  
Docket No: 15436,247.51.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Ashish K. Verma, et al.

Serial No.: 10/691,376

Art Unit  
2828

Filed: October 22, 2003

Conf. No.: 4953

For: OPTOELECTRONIC SEMICONDUCTOR  
DEVICE

Examiner: Flores Ruiz, Delma R

Customer No.: 022913

TRANSMITTALCommissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

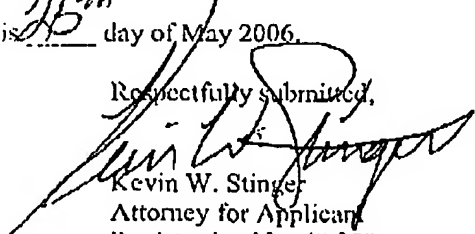
Transmitted herewith for filing are the following documents:

- Revocation and Substitute Power of Attorney with Ex. A & B (23 pgs);
- Certificate of Facsimile Transmission (1 pg)

Please address all future correspondence in connection with the above-identified patent application to the attention of the undersigned. A duplicate copy of this letter is enclosed.

Dated this 25<sup>th</sup> day of May 2006.

Respectfully submitted,

  
 Kevin W. Stinger  
 Attorney for Applicant  
 Registration No. 48,959  
 Customer No. 022913

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FILED VIA FACSIMILE

PATENT APPLICATION  
Docket No: 15436.247.51.1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of		)
		)
	Ashish K. Venna, et al.	)
		)
Serial No.:	10/691,376	) Art Unit
		) 2828
Filed:	October 22, 2003	)
		)
Conf. No.:	4953	)
		)
For:	OPTOELECTRONIC SEMICONDUCTOR	)
	DEVICE	)
		)
Examiner:	Flores Ruiz, Delma R	)
		)
Customer No.:	022913	)

REVOCATION AND SUBSTITUTE POWER OF ATTORNEYCommissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I, the undersigned, Stephen K. Workman, state that I am the Senior Vice President of Finance and the CFO of Finisar Corporation and that I am authorized to execute this Revocation and Substitute Power of Attorney on behalf of Finisar Corporation.

I further state that Finisar Corporation is the assignee of the entire interest of the above-identified patent as shown by the assignment recorded in the U.S. Patent and Trademark Office at the Reel and Frame identified in Exhibit A and assignments identified in Exhibit B. The assignee, Finisar Corporation, hereby revokes all previous powers of attorney in the above-identified patent, and now hereby appoints all attorneys under:

**CUSTOMER NUMBER: 022913**

of WORKMAN NYDEGGER as attorney with full power of substitution and revocation, to prosecute said application, to make alterations and amendments therein, to receive the Letters Patent, and to transact all business in the Patent and Trademark Office connected therewith.

All correspondence and telephonic communication should be directed to:

**ERIC L. MASCHOFF**

at the address associated with the above-identified customer number.

This Revocation and Substitute Power of Attorney and Statement under 37 C.F.R. 3.73(b)(1) is effective for the above-identified patent, and shall be filed at the U.S. Patent & Trademark Office.

Signed this 16 day of MARCH, 2006.

By: 

Stephen K. Workman  
Sr. Vice President Finance and CFO  
Finisar Corporation  
1389 Moffett Park Drive  
Sunnyvale, CA 94089



## **EXHIBIT A**

**EXHIBIT A**

A chain of title in parent application, U.S. Patent No. 6,540,413, issued April 1, 2003, to this Application Serial No: 10/691,376, is shown in an assignment from inventors Ashish K. Verma and Daniel A. Francis to Genoa Corporation recorded at Reel 010827, Frame 0487 and an assignment from inventor Arnold C. Chen to Genoa Corporation recorded at Reel 011135, Frame 0378 and an assignment from Genoa Corporation to Finisar Corporation recorded at Reel 01-1634, Frame 0328.

## **EXHIBIT B**

**PROPERTIES SUBJECT TO REVOCATION AND  
SUBSTITUTE POWER OF ATTORNEY**

WN File No:	Serial /Patent Number:	Date:	Title:	Inventors:
15436.247.51	09/580,322 6,647,041	05/26/2000 11/11/2003	ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED ELECTRICAL PERFORMANCE	Ashish K. Verma, Arnold C. Chen, Daniel A. Francis
15436.247.51.1	10/691,376	10/22/2003	OPTOELECTRONIC SEMICONDUCTOR DEVICE	Ashish K. Verma, Arnold C. Chen, Daniel A. Francis





4919

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

AUGUST 04, 2000

FENWICK & WEST LLP  
MICHAEL W. FARN  
2 PALO ALTO SQUARE  
PALO ALTO, CA 94306

REC PTAS

AUG 14 2000

FENWICK &amp; WEST LLP



\*101377827A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/26/2000

REEL/FRAME: 010827/0487  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
VERMA, ASHISH K.

DOC DATE: 05/25/2000

ASSIGNOR:  
FRANCIS, DANIEL A.

DOC DATE: 05/25/2000

ASSIGNEE:  
GENOA CORPORATION  
41762 CHRISTY STREET  
FREMONT, CALIFORNIA 94538SERIAL NUMBER: 09580322  
PATENT NUMBER:FILING DATE: 05/26/2000  
ISSUE DATE:

ANTHONY ROYALI, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

FORM PTO-1619A  
Expires 6/30/05  
OMB 0451-0027

06-08-2000

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**

101377827

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**10525 U.S. PTO  
09/580322

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

**Submission Type**☒ New

Resubmission (Non-Recordation)

☐ Document ID# \_\_\_\_\_

Correction of PTO Error

☐ Real # \_\_\_\_\_ Frame # \_\_\_\_\_

Corrective Document

☐ Real # \_\_\_\_\_ Frame # \_\_\_\_\_**Conveyance Type**☒ Assignment☐ Security Agreement☐ License☐ Change of Name☐ Merger☐ Other \_\_\_\_\_**U.S. Government**

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File☐ Secret File**Conveying Party(ies)**☐ Mark if additional names of conveying parties attachedName (line 1) Ashish K. VermaExecution Date  
Month Day Year05/25/2000

Name (line 2) \_\_\_\_\_

**Second Party**Name (line 1) Daniel A. FrancisExecution Date  
Month Day Year05/25/2000

Name (line 2) \_\_\_\_\_

**Receiving Party**☐ Mark if additional names of receiving parties attachedName (line 1) GenOA Corporation☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2) \_\_\_\_\_

Address (line 1) 41762 Christy Street

Address (line 2) \_\_\_\_\_

Address (line 3) FremontCA94538**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name \_\_\_\_\_

Address (line 1) \_\_\_\_\_

Address (line 2) \_\_\_\_\_

Address (line 3) \_\_\_\_\_

Address (line 4) \_\_\_\_\_

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Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

FORM PTO-1619B

EFFECTIVE 06/30/93  
CLASS 001-0027

Page 2

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT****Correspondent Name and Address**

Area Code and Telephone (650) 858-7823

Name Michael W. Farn

Address (line 1) Fenwick &amp; West LLP

Address (line 2) 2 Palo Alto Square

Address (line 3) Palo Alto, CA 94306

Address (line 4)

**Pages**

Enter the total number of pages of the conveyance document including attachments # 2

**Application Number(s) or Patent Number(s)**☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)







If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year  
05/25/2000**Patent Cooperation Treaty (PCT)**Enter PCT application number  
only if a U.S. Application Number  
has not been assigned

PCT

PCT

PCT

PCT

PCT

PCT

**Number of Properties**

Enter the total number of properties involved.

#

1

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41):

\$

40

Method of Payment

Enclosed ☐Deposit Account ☒**Deposit Account**

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# 19-2555

Authorization to charge additional fees:

Yes ☒No ☐**Statement and Signature**

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Michael W. Farn

Name of Person Signing

Michael W. Farn  
Signature

May 26, 2000

Date

## PATENT

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, the person(s) named below (referred to as "INVENTOR" whether singular or plural) has sold, assigned, and transferred and does hereby sell, assign, and transfer to GenOA Corporation, a California corporation, having a place of business at 41762 Christy Street, Fremont, CA 94538 ("ASSIGNEE"), for itself and its successors, transferees, and assignees, the following:

1. The entire worldwide right, title, and interest in all inventions and improvements ("SUBJECT MATTER") that are disclosed in the application for United States Letters Patent entitled: ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED ELECTRICAL PERFORMANCE ("APPLICATION"), which:

☒ is to be filed herewith

☐ was filed on \_\_\_\_\_, now bearing U.S. serial number \_\_\_\_\_

and for which a Declaration was executed by INVENTOR on the date(s) below; and

2. The entire worldwide right, title, and interest in and to:

(a) the APPLICATION, including any right of priority; (b) any divisional, continuation, substitute, renewal, reissue, and other related applications thereto which have been or may be filed in the United States or elsewhere in the world; and (c) any patents which may be granted on the applications set forth in (a) and (b) above.

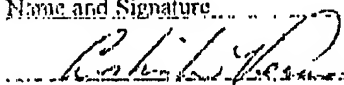
INVENTOR agrees that ASSIGNEE may apply for and receive patents for SUBJECT MATTER in ASSIGNEE's own name.

INVENTOR agrees to do the following, when requested, and without further consideration, in order to carry out the intent of this Assignment: (1) execute all oaths, assignments, powers of attorney, applications, and other papers necessary or desirable to fully secure to ASSIGNEE the rights, titles and interests herein conveyed; (2) communicate to ASSIGNEE all known facts relating to the SUBJECT MATTER; and (3) generally do all lawful acts that ASSIGNEE shall consider desirable for securing, maintaining, and enforcing worldwide patent protection relating to the SUBJECT MATTER and for vesting in ASSIGNEE the rights, titles, and interests herein conveyed. INVENTOR further agrees to provide any successor, assign, or legal representative of ASSIGNEE with the benefits and assistance provided to ASSIGNEE hereunder.

INVENTOR represents that INVENTOR has the rights, titles, and interests to convey as set forth herein, and covenants with ASSIGNEE that the INVENTOR has made or will make hereafter no assignment, grant, mortgage, license, or other agreement affecting the rights, titles, and interests herein conveyed.

INVENTOR grants the attorney of record the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

This Assignment may be executed in one or more counterparts, each of which shall be deemed an original and all of which may be taken together as one and the same Assignment.

Name and Signature _____	Date of Signature _____	Date Declaration Executed By This Person _____
	5/25/2006	5/25/2006 NF
Ashish K. Verma		

State of \_\_\_\_\_  
County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_ personally  
[DATE] [NOTARY PUBLIC]

appeared Ashish K. Verma, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary Seal

Notary

Case Number: 2006-118

1 of 2

## PATENT

Title of Document: ASSIGNMENT

Re:  
Title: ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH  
IMPROVED ELECTRICAL PERFORMANCE  
Filed: (if applicable) N/A  
Serial No.: (if applicable) N/A

Name and Signature	Date of Signature	Date Declaration Executed By This Person
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Arnold C. Chen	2000	2000
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State of \_\_\_\_\_  
County of \_\_\_\_\_

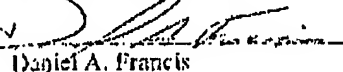
On \_\_\_\_\_ before me, \_\_\_\_\_ personally  
[DATE] [NOTARY PUBLIC]

appeared Arnold C. Chen personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary Seal

Notary

Name and Signature	Date of Signature	Date Declaration Executed By This Person
--------------------	----------------------	---------------------------------------------

 Daniel A. Francis	May 25, 2000	5/25/2000 NF
----------------------------------------------------------------------------------------------------------	--------------	--------------

State of \_\_\_\_\_  
County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_ personally  
[DATE] [NOTARY PUBLIC]

appeared Daniel A. Francis personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary Seal

Notary

**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D C 20231

NOVEMBER 30, 2000

PTAS

FENWICK & WEST LLP  
MICHAEL W. FARN  
2 PALO ALTO SQUARE  
PALO ALTO, CA 94306

\*101483944A\*

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FENWICK &amp; WEST LLP

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RECORDATION DATE: 09/05/2000

REEL/FRAME: 011135/0378  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

## ASSIGNOR:

CHEN, ARNOLD C.

DOC DATE: 08/23/2000

## ASSIGNEE:

GENOA CORPORATION  
41762 CHRISTY STREET  
FREMONT, CALIFORNIA 94538SERIAL NUMBER: 09580322  
PATENT NUMBER:FILING DATE: 05/26/2000  
ISSUE DATE:MARCUS KIRK, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

FORM PTO-1619A

Expires 06/30/00  
0-10 0-51 0027

10-11-2000



101483944

U.S. Department of Commerce  
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**PATENT**

SEP - 2 2000

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**Conveyance Type**☒ Assignment

Security Agreement

☐ License

Change of Name

☐ Merger

Other

**U.S. Government**

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☐ Departmental File☐ Secret File**Conveying Party(ies)**☐

Mark if additional names of conveying parties attached

Name (line 1) **Arnold C. Chen**

Name (line 2)

Execution Date

Month Day Year

**08/23/2000****Second Party**

Name (line 1)

Name (line 2)

Execution Date

Month Day Year

**Receiving Party**☐

Mark if additional names of receiving parties attached

Name (line 1) **GenOA Corporation**

Name (line 2)

Address (line 1) **41762 Christy Street**

Address (line 2)

Address (line 3)

**Fremont****CA****94538**

If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

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Name

Address (line 1)

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FORM PTO-1619B

E-Pat: 06/30/03  
CMB 6-25-0027

Page 2

U.S. Department of Commerce  
Patent and Trademark Office  
PATENT

## Correspondent Name and Address

Area Code and Telephone (650) 858-7823

Name Michael W. Farn

Address (line 1) Fenwick &amp; West LLP

Address (line 2) 2 Palo Alto Square

Address (line 3) Palo Alto, CA 94306

Address (line 4)

## Pages

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## Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

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Patent Application Number(s)

Patent Number(s)

09/580,322

If this document is being filed together with a new Patent Application, enter the date the patent application was  
signed by the first named executing inventor.

Month Day Year

## Patent Cooperation Treaty (PCT)

Enter PCT application number  
only if a U.S. Application Number  
has not been assigned

PCT

PCT

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## Number of Properties

Enter the total number of properties involved.

# 1

## Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41):

\$ 40

Method of Payment

Enclosed



Deposit Account



## Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# 19-2555

Authorization to charge additional fees:

Yes ☒No ☐

## Statement and Signature

*To the best of my knowledge and belief, the foregoing information is true and correct and any  
attached copy is a true copy of the original document. Charges to deposit account are  
authorized, as indicated herein.*

Michael W. Farn

Name of Person Signing



Signature

08/31/2000

Date



## PATENT

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, the person(s) named below (referred to as "INVENTOR" whether singular or plural) has sold, assigned, and transferred and does hereby sell, assign, and transfer to GenOA Corporation, a California corporation, having a place of business at 41762 Christy Street, Fremont, CA 94538 ("ASSIGNEE"), for itself and its successors, transferees, and assignees, the following:

1. The entire worldwide right, title, and interest in all inventions and improvements ("SUBJECT MATTER") that are disclosed in the application for United States Letters Patent entitled: ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED ELECTRICAL PERFORMANCE ("APPLICATION"), which:

☐ is to be filed herewith

☒ was filed on 05/26/2000, now bearing U.S. serial number 09/580,322

and for which a Declaration was executed by INVENTOR on the date(s) below; and

2. The entire worldwide right, title, and interest in and to:

(a) the APPLICATION, including any right of priority; (b) any divisional, continuation, substitute, renewal, reissue, and other related applications thereto which have been or may be filed in the United States or elsewhere in the world; and (c) any patents which may be granted on the applications set forth in (a) and (b) above.

INVENTOR agrees that ASSIGNEE may apply for and receive patents for SUBJECT MATTER in ASSIGNEE's own name.

INVENTOR agrees to do the following, when requested, and without further consideration, in order to carry out the intent of this Assignment: (1) execute all oaths, assignments, powers of attorney, applications, and other papers necessary or desirable to fully secure to ASSIGNEE the rights, titles and interests herein conveyed; (2) communicate to ASSIGNEE all known facts relating to the SUBJECT MATTER; and (3) generally do all lawful acts that ASSIGNEE shall consider desirable for securing, maintaining, and enforcing worldwide patent protection relating to the SUBJECT MATTER and for vesting in ASSIGNEE the rights, titles, and interests herein conveyed. INVENTOR further agrees to provide any successor, assign, or legal representative of ASSIGNEE with the benefits and assistance provided to ASSIGNEE hereunder.

INVENTOR represents that INVENTOR has the rights, titles, and interests to convey as set forth herein, and covenants with ASSIGNEE that the INVENTOR has made or will make hereafter no assignment, grant, mortgage, license, or other agreement affecting the rights, titles, and interests herein conveyed.

INVENTOR grants the attorney of record the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

This Assignment may be executed in one or more counterparts, each of which shall be deemed an original and all of which may be taken together as one and the same Assignment.

<u>Name and Signature</u>	<u>Date of Signature</u>	<u>Date Declaration Executed By This Person</u>
Ashish K. Verma	_____, 2000	_____, 2000
State of _____		
County of _____		

On \_\_\_\_\_ before me, \_\_\_\_\_ personally  
[DATE] [NOTARY PUBLIC]

appeared Ashish K. Verma, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary Seal

Notary

Doc. No. 118

## PATENT

Title of Document: ASSIGNMENT

Re:

Title:

ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH  
IMPROVED ELECTRICAL PERFORMANCE

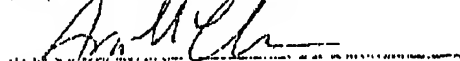
Filed: (if applicable)

05/26/2000

Serial No.: (if applicable)

00/580,322

Name and Signature



Arnold C. Chen

Date of  
Signature

8/23, 2000

Date Declaration  
Executed By This Person

8-23, 2000

State of

County of

On \_\_\_\_\_ before me, \_\_\_\_\_ personally

[DATE]

[NOTARY PUBLIC]

appeared Arnold C. Chen personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary Seal

Notary

Name and Signature



Daniel A. Francis

Date of  
Signature

\_\_\_\_\_, 2000

Date Declaration  
Executed By This Person

\_\_\_\_\_, 2000

State of

County of

On \_\_\_\_\_ before me, \_\_\_\_\_ personally

[DATE]

[NOTARY PUBLIC]

appeared Daniel A. Francis personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary Seal

Notary



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

MAY 20, 2004

PTAS



\*102589693A\*

ERIC L. MASCHOFF  
1000 EAGLE GATE TOWER  
60 SOUTH TEMPLE  
SALT LAKE CITY, UT 84111UNITED STATES PATENT AND TRADEMARK OFFICE  
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REFERENCED BELOW.PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE  
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PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,  
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,  
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/22/2003

REEL/FRAME: 014634/0328  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

## ASSIGNOR:

GENOA CORPORATION

DOC DATE: 07/18/2003

## ASSIGNEE:

FINISAR CORPORATION  
1308 MOFFET PARK DRIVE  
SUNNYVALE, CALIFORNIA 94089-1733

SERIAL NUMBER: 09580322

FILING DATE: 05/26/2000

PATENT NUMBER: 6647041

ISSUE DATE: 11/11/2003

TITLE: ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED  
ELECTRICAL PERFORMANCE

247.51

SERIAL NUMBER: 10014679

FILING DATE: 12/11/2001

PATENT NUMBER:

ISSUE DATE:

TITLE: INTEGRATED OPTICAL DEVICE INCLUDING A VERTICAL LASING SEMICONDUCTOR  
OPTICAL AMPLIFIER

247.45.1

DOCKETED  
Action \_\_\_\_\_  
Response Due \_\_\_\_\_  
By SH On 6/8/04  
Atty. \_\_\_\_\_ File # 15436,247.51

014634/0328 PAGE 2

SERIAL NUMBER: 09967859	FILING DATE: 09/28/2001	
PATENT NUMBER:	ISSUE DATE:	247.52.1
TITLE: MULTISTAGE TUNABLE GAIN OPTICAL AMPLIFIER		
SERIAL NUMBER: 10020527	FILING DATE: 12/14/2001	
PATENT NUMBER:	ISSUE DATE:	247.35.1
TITLE: OPTICAL CROSSBAR USING LASING SEMICONDUCTOR OPTICAL AMPLIFIERS		
SERIAL NUMBER: 10017200	FILING DATE: 12/14/2001	
PATENT NUMBER:	ISSUE DATE:	247.38.1
TITLE: SYSTEM AND METHOD FOR WAVELENGTH CONVERSION USING A VLSEA		
SERIAL NUMBER: 10061585	FILING DATE: 02/01/2002	
PATENT NUMBER:	ISSUE DATE:	247.54.1
TITLE: LASING SEMICONDUCTOR OPTICAL AMPLIFIER WITH OPTICAL SIGNAL POWER MONITOR		
SERIAL NUMBER: 10020558	FILING DATE: 12/14/2001	
PATENT NUMBER:	ISSUE DATE:	247.40.1
TITLE: OPTICAL LOGICAL CIRCUITS BASED ON LASING SEMICONDUCTOR OPTICAL AMPLIFIERS		
SERIAL NUMBER: 10017358	FILING DATE: 12/13/2001	
PATENT NUMBER:	ISSUE DATE:	247.45.1
TITLE: OPTICAL TRANSMITTER INCLUDING A LINEAR SEMICONDUCTOR OPTICAL AMPLIFIER		
SERIAL NUMBER: 10017201	FILING DATE: 12/14/2001	
PATENT NUMBER:	ISSUE DATE:	247.45.1.2
TITLE: OPTICAL RECEIVER INCLUDING A LINEAR SEMICONDUCTOR OPTICAL AMPLIFIER		
SERIAL NUMBER: 10029523	FILING DATE: 12/21/2001	
PATENT NUMBER:	ISSUE DATE:	247.39.1
TITLE: OPTICAL 2R/3R REGENERATION		
SERIAL NUMBER: 10029676	FILING DATE: 12/21/2001	
PATENT NUMBER: 6707600	ISSUE DATE: 03/16/2004	247.37.1
TITLE: EARLY WARNING FAILURE DETECTION FOR A LASING SEMICONDUCTOR OPTICAL AMPLIFIER		
SERIAL NUMBER: 10092455	FILING DATE: 03/06/2002	
PATENT NUMBER:	ISSUE DATE:	247.54.2.1
TITLE: LASING SEMICONDUCTOR OPTICAL AMPLIFIER WITH OUTPUT POWER MONITOR AND CONTROL		
SERIAL NUMBER: 10033550	FILING DATE: 12/27/2001	
PATENT NUMBER: 6577654	ISSUE DATE: 06/10/2003	247.54.2
TITLE: OPTICAL SIGNAL POWER MONITOR AND REGULATOR		
SERIAL NUMBER: 10095539	FILING DATE: 03/11/2002	
PATENT NUMBER:	ISSUE DATE:	247.43.1
TITLE: RECONFIGURABLE OPTICAL ADD-DROP MULTIPLEXER		

014634/0328 PAGE 3

SERIAL NUMBER: 10101761	FILING DATE: 03/19/2002	
PATENT NUMBER:	ISSUE DATE:	247.56
TITLE: OPTICAL AMPLIFIER WITH DAMPED RELAXATION OSCILLATION		
SERIAL NUMBER: 10392599	FILING DATE: 03/18/2003	
PATENT NUMBER:	ISSUE DATE:	247.48.1
TITLE: ELECTRICALLY PUMPED SEMICONDUCTOR ACTIVE REGION WITH A BACKWARD DIODE, FOR ENHANCING OPTICAL SIGNALS		
SERIAL NUMBER: 10392671	FILING DATE: 03/18/2003	
PATENT NUMBER:	ISSUE DATE:	247.50.1
TITLE: VERTICAL LASER CAVITY WITH A NON-PLANAR TOP MIRROR		
SERIAL NUMBER: 10300439	FILING DATE: 11/19/2002	
PATENT NUMBER: 6704138	ISSUE DATE: 03/09/2004	247.53.1
TITLE: LOW-NOISE, HIGH-POWER OPTICAL AMPLIFIER		
SERIAL NUMBER: 09273813	FILING DATE: 03/22/1999	
PATENT NUMBER: 6415495	ISSUE DATE: 09/03/2002	247.52
TITLE: TUNABLE GAIN LASING SEMICONDUCTOR OPTICAL AMPLIFIER		
SERIAL NUMBER: 09416817	FILING DATE: 10/12/1999	
PATENT NUMBER: 6512629	ISSUE DATE: 01/28/2003	247.53
TITLE: LOW-NOISE, HIGH-POWER OPTICAL AMPLIFIER		
SERIAL NUMBER: 09299824	FILING DATE: 04/26/1999	
PATENT NUMBER: 6347104	ISSUE DATE: 02/12/2002	247.54
TITLE: OPTICAL SIGNAL POWER MONITOR AND REGULATOR		
SERIAL NUMBER: 09585587	FILING DATE: 06/02/2000	
PATENT NUMBER: 6310720	ISSUE DATE: 10/30/2001	247.55
TITLE: POLARIZATION INSENSITIVE SEMICONDUCTOR OPTICAL AMPLIFIER		
SERIAL NUMBER: 09256175	FILING DATE: 09/18/2001	
PATENT NUMBER: 6549331	ISSUE DATE: 04/15/2003	247.55.1
TITLE: POLARIZATION INSENSITIVE SEMICONDUCTOR OPTICAL AMPLIFIER		
SERIAL NUMBER: 10016954	FILING DATE: 12/13/2001	
PATENT NUMBER: 6560010	ISSUE DATE: 05/06/2003	247.45.2
TITLE: BROADBAND GAIN-CLAMPED SEMICONDUCTOR OPTICAL AMPLIFIER DEVICES		

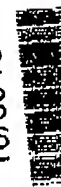
VIOLET MCCOY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

FORM PTO-1505 (Modified) (Rev. 11/01) OMB No. 0651-0027 (exp. 5/3/2007) P00A07 (1/03)		10-31-2003	Docket No.: 15436.247
ET		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office	
Tab Settings		102589693	
To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.			
1. Name of conveying party(ies): <b>GENOA CORPORATION</b>		2. Name and address of receiving party(ies): Name: <b>FINISAR CORPORATION</b> Address: <b>1308 Moffet Park Drive</b> City: <b>Sunnyvale</b> State/Prov.: <b>CA</b> Country: <b>USA</b> ZIP: <b>94089-1133</b>	
Additional name(s) of conveying party(ies) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Additional name(s) & address(es) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other			
Execution Date: <b>July 18, 2003</b>			
4. Application number(s) or patent numbers(s): If this document is being filed together with a new application, the execution date of the application is: Patent Application No. Filing date attached Schedule A		B. Patent No.(s) Attached Schedule A	
Additional numbers <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed: Name: <b>Eric L. Maschoff</b> Registration No. <b>36,596</b> Address: <b>1000 Eagle Gate Tower</b> <b>60 South Temple</b> City: <b>Salt Lake City</b> State/Prov.: <b>UT</b> Country: <b>USA</b> ZIP: <b>84111</b>		6. Total number of applications and patents involved: <b>24</b> 7. Total fee (37 CFR 3.41): \$ <b>960.00</b> <input checked="" type="checkbox"/> Enclosed - Any excess or insufficiency should be credited or debited to deposit account <input type="checkbox"/> Authorized to be charged to deposit account 8. Deposit account number: <b>23-3178</b> (Attach duplicate copy of this page if paying by deposit account)	
DO NOT USE THIS SPACE			
9. Statement and signature. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. <b>R. Burns Israelsen</b> Name of Person Signing Signature Date <b>July 21, 2003</b>			
Total number of pages including cover sheet, attachments, and Mail documents to be recorded with required cover sheet information to: <b>4</b>			

# **SCHEDULE A** **Patent Properties Subject to Assignment**

15438.247.52	05-27-13	22-Mar-97	6,446,495	9-Sep-02
15438.247.53	08-10-97	12-Dec-99	6,512,829	29-Jun-03
15438.247.54	05-28-92	25-Apr-98	6,347,104	12-Feb-02
15438.247.55	25-05-97	2-Jun-00	6,316,726	30-Oct-01
15438.247.56	05-05-12	18-Sep-01	6,549,331	16-Apr-05
15438.247.57	08-05-92	28-May-00		
15438.247.58	10-14-97	11-Dec-01		
15438.247.59	03-31-89	25-Sep-01		
15438.247.60	10-22-97	14-Dec-01		
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15438.247.98	10-07-00	14-Dec-01		
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15438.247.00	10-07-00	14-Dec-01		

22386 U.S. PTO  
10/691376



102203

7/7/2003

Page 1

KKK0003030197V001.xls

WHEN RECORDED RETURN TO:

PATENT APPLICATION

Docket No: 15436.247

Workman, Nydegger & Seeley  
1600 Eagle Gate Tower  
60 East South Temple  
Salt Lake City, Utah 84111

## A S S I G N M E N T

WHEREAS, Genoa Corporation, a California corporation, with its principal place of business located at 41762 Christy Street, Fremont, California 94538, (hereinafter referred to as ASSIGNOR) is the owner of record of the issued U.S. patents, pending U.S. patent applications, foreign and international patent applications and foreign patents listed in Schedule A attached hereto (collectively hereinafter, the "Patent Properties"); and

WHEREAS, Finisar Corporation, a Delaware corporation with its principal place of business at 1308 Moffett Park Drive, Sunnyvale, California 94089 (hereinafter referred to as ASSIGNEE), desires to acquire all right, title, and interest in and to the Patent Properties, the corresponding inventions, and in and to any letters patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby assigns, and transfers unto said ASSIGNEE, the entire right, title, and interest in and to said Patent Properties, the corresponding inventions, and any and all letters patent which may be granted therefor in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues, and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from any of the Patent Properties to which said foreign applications are entitled by virtue of international convention, treaty, or otherwise. As part of this assignment and transfer, ASSIGNOR assigns and transfers to ASSIGNEE the right to hold and enjoy said Patent Properties, the corresponding inventions, and all letters patent that may be granted on said Patent Properties for its use and benefit and for the use and benefit of its successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNOR had this assignment and transfer not been made. ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks in the U.S. Patent & Trademark Office to issue all letters patent arising from the Patent Properties or from the corresponding inventions to ASSIGNEE. ASSIGNOR agrees to execute all instruments and documents required for the making and prosecution of applications for U.S. and foreign letters patent for the Patent Properties or for the corresponding inventions, for litigation regarding said letters patent, or for the purpose of protecting title to the Patent Properties, the corresponding inventions, or letters patent therefor.



Signed this 18 day of July, 2003.

ASSIGNOR  
Genoa Corporation  
41762 Christy Street  
Fremont, California 94538

By:



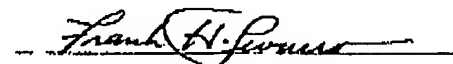
Name: Steve Workman

Position: Chief Financial Officer

Accepted this 18 day of July, 2003.

ASSIGNEE  
Finisar Corporation  
1308 Moffett Park Drive  
Sunnyvale, California 94089

By:



Name: Frank H. Levinson

Position: Chairman of the Board

WA1513621/WKKK000000220V001JXX

FILED VIA FACSIMILE

PATENT APPLICATION  
Docket No: 15436.247.51.1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Ashish K. Verma, et al.

Serial No.:

10/691,376

) Art Unit  
) 2828

Filed:

October 22, 2003

Conf. No.:

4953

For:

OPTOELECTRONIC SEMICONDUCTOR  
DEVICE

Examiner:

Flores Ruiz, Delma R

Customer No.:

022913

CERTIFICATE OF FACSIMILE TRANSMISSIONCommissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I hereby certify that this paper is being transmitted via facsimile at facsimile number  
(571) 273-8300 to the Patent and Trademark Office on the date shown below.

Dated this 25<sup>th</sup> of May, 2006.

Respectfully submitted,

Tobi Terry, paralegal to  
Eric L. Maschoff

Transmitted:

- Transmittal (1 pg)
- Revocation and Substitute Power of Attorney with Ex. A & B (23 pgs);

W:\15436\247.51.1\15436.247.51.1\15436.247.51.1.doc

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